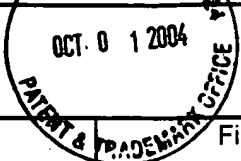


TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

AP/3731
Docket No.
54084-8682 *DPW*

In Re Application Of:
Awh, et al.



Serial No.
09/992,232

Filing Date
November 6, 2001

Examiner
THALER, Michael H.

Group Art Unit
3731

Title:

DIRECTIONAL ENDO-ILLUMINATOR

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

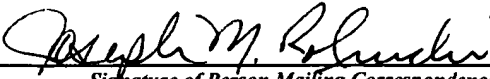

37 CFR 1.97(c)

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☒ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT (Under 37 CFR 1.97(b) or 1.97(c))			Docket No. 54084-8682	
In Re Application: Awh, et al.				
Serial No. 09/992,232	Filing Date November 6, 2001	Examiner THALER, Michael H.	Group Art Unit 3731	
Title: DIRECTIONAL ENDO-ILLUMINATOR				
Payment of Fee (Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))				
<input type="checkbox"/> A check in the amount of _____ is attached.				
<input checked="" type="checkbox"/> The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 20-0823 as described below. A duplicate copy of this sheet is enclosed.				
<input type="checkbox"/> Charge the amount of _____				
<input checked="" type="checkbox"/> Credit any overpayment.				
<input checked="" type="checkbox"/> Charge any additional fee required.				
Certificate of Transmission by Facsimile* I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax No. _____) on _____ _____ (Date) _____ Signature _____ Typed or Printed Name of Person Signing Certificate		Certificate of Mailing First Class Mail I certify that this document and fee is being deposited on September 28, 2004 with the U.S. Postal Service as First Class Mail under 37 C.F.R. 1.8 and addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.  Signature of Person Mailing Correspondence Joseph M. Rolnicki, Reg. No. 32,653 Typed or Printed Name of Person Mailing Certificate		
 Signature Joseph M. Rolnicki, Reg. No. 32,653 Thompson Coburn LLP One US Bank Plaza St. Louis, Missouri 63101-9928 314-552-6286 314-552-7286 FAX		Dated: September 28, 2004		
Customer No: 021888				

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.

54084-8682

In Re Application Of:

Awh, et al.

Serial No.

09/992,232

Filing Date

November 6, 2001

Examiner

THALER, Michael H.

Group Art Unit

3731

Invention:

DIRECTIONAL ENDO-ILLUMINATOR

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement here below:

Statement Under 37 CFR 1.97(e)(1)

- ☒ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☐ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.


Signature

Dated: September 28, 2004

Joseph M. Rolnicki, Reg. No. 32,653
Thompson Coburn LLP
One US Bank Plaza
St. Louis, Missouri 63101-9928
314-552-6286
314-552-7286 FAX

Certificate of Mailing by First Class Mail

I certify that this document is being deposited on September 28, 2004 with the U.S. Postal Service as First Class Mail under 37 C.F.R. 1.8 and addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.


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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	09/992,232
				Filing Date	November 6, 2001
				First Named Inventor	Awh, et al.
				Art Unit	3731
				Examiner Name	THALER, Michael H.
Sheet	1	of	1	Attorney Docket Number	54084-8682

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
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FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
		PCT - WO 95/31926	11/30/1995	Sachdeva, et al.		

Examiner Signature	Date Considered
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2401145 EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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